

# ***OLMS Electronic Reporting and Disclosure System***

## ***Data Specifications Document***

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## Table of Contents

1. Overview.....	2
1.1 Audience.....	2
1.2 Purpose .....	2
1.3 Documents Overview .....	2
2. XML Import Format .....	4
2.1 XML File Format.....	4
2.2 XML Document Schemas .....	4
3. CSV Import Format .....	6
3.1 CSV File Format.....	6
3.2 CSV Record Formats .....	8
Appendix A: CSV Import Formats.....	9
A.1 LM-2 Record Formats.....	9
A.2 T-1 Record Formats .....	12

## List of Tables

Table 1: XML Schemas .....	4
Table 2: Schema Reference Guides .....	5

## **1. Overview**

### **1.1 Audience**

This document is intended for technical users responsible for creating data access or data transformation methods supporting Form LM-2 and Form T-1 filing requirements. Primary technical users include software analysts, software developers, information engineers, and data managers. This document helps guide technical users through the process of creating data access or transformation tools, or data preparation. It is assumed that technical users have prior experience using data definition mechanisms, including XML schemas and/or comma separated value file specifications.

### **1.2 Purpose**

The Data Specifications Document (DSD) will not be used by all filers. Some unions, particularly smaller unions that do not have an in-house or contracted technology staff, instead may elect to manually enter information directly into the forms. The DSD will be used by those unions that choose to create import files to populate the report. The U.S. Department of Labor (DOL) is prepared to offer compliance assistance to help filers create the file formats described in this document. If you have general questions about the Form LM-2 and Form T-1 filing requirements or specific questions about this document, you may call DOL's toll free number at (866) 4-USA-DOL (487-2365), or send an e-mail to [olms-public@dol.gov](mailto:olms-public@dol.gov). Further information may also be obtained from the Frequently Asked Questions section of the Office of Labor-Management Standards Web site at <http://www.olms.dol.gov>.

This document and the accompanying files provide specifications and guidance for developing formatted import files that are compliant with DOL's Electronic Reporting and Disclosure System (ERDS). ERDS enables labor union annual report filers to enter data into electronic LM-2 and T-1 forms and submit the forms to DOL for processing and publication. If filers submit large amounts of data or wish to further automate the filing process, ERDS can import data from properly formatted files directly into the forms.

This data import process provides a mechanism for filers to load data extracted from financial accounting systems into ERDS. Filers can export or compile their financial data into Extensible Markup Language (XML) or Comma Separated Value (CSV) data files that adhere to the corresponding format prescribed in this document and import the data files into ERDS.

This document addresses only the content and structure of data files prepared for import into ERDS forms. Data validation services are provided by both the import process and the electronic forms preparation package itself. For detailed instructions on completing and submitting the electronic LM-2 and T-1 forms and on the import process, refer to the ERDS user manual that will be available with the filing software.

### **1.3 Documents Overview**

The ERDS Data Specification Document is intended to be used in conjunction with several other accompanying files. Those files include the XML schema files, sample LM-2 and T-1 XML data files, the CSV format file, and LM-2 and T-1 reference guides.

The XML schema files that accompany this document are all suffixed with the extension ".xsd" and are generally referred to as "xsd" files. These files include lm2.xsd, t1.xsd and common.xsd. The

common.xsd provides the XML schema for elements that are common to both the LM-2 and T-1 forms. The lm2.xsd file provides the XML schema for the LM-2 form. The t1.xsd provides the XML schema for the T-1 form.

The csv-format file is a Microsoft Excel spreadsheet file. The file provides the format specification for comma separated value data files.

Also accompanying this document are two HTML files, one for each form type (LM-2 and T-1). These documents comprise the XML schema reference guides.

The remainder of this document is divided into two main sections and provides descriptions of the specific file formats that are accepted by the ERDS import tool. The first section describes the XML format. The second section describes the file format for comma separated value files.

Please do not hesitate to contact DOL if you have any questions about the purpose or content of this document or the accompanying files.

## 2. XML Import Format

This section provides an overview of the XML data import format. It assumes the technical user is familiar with XML basics, Namespaces, and the XML Schema Definition language. Technical users not familiar with these concepts can find numerous references on the World Wide Web, such as the World Wide Web Consortium (W3C) at <http://www.w3.org/xml>.

### 2.1 XML File Format

XML import files must be well-formed, valid XML 1.0 document instances (as defined in <http://www.w3.org/TR/REC-xml>). Documents must include an explicit XML declaration indicating the XML version (1.0) and the document encoding. The ERDS import tool supports the following encodings: UTF-8, UTF-16, ISO-8859-1, US-ASCII. Other encodings may be supported, but are not guaranteed.

Import data files must reference a corresponding schema, using an `xsi:schemaLocation` attribute defined on the root document element (see below). This attribute indicates the URN of the schema namespace and the physical location of the corresponding .XSD file.

The following example shows the first few lines of a sample LM-2 import file. Note that all data elements are in the default “lm2” namespace.

```
<?xml version='1.0' encoding='UTF-8'?>
<lm2-import xmlns:xsi='http://www.w3.org/2001/XMLSchema-instance'
  xmlns='http://www.dol.gov/esa/olms/2003/lm2-1_1'
  xsi:schemaLocation='http://www.dol.gov/esa/olms/2003/lm2-1_1 lm2.xsd'>
  <assets>
    <accountsReceivable>
      <itemizedAccounts>
        <account>...
        <account>...
```

Complete LM-2 and T-1 examples are included with this distribution.

### 2.2 XML Document Schemas

XML files used for data import must conform to the appropriate XML document format as specified by a set of schema files defined using the W3C 2001 XML Schema Recommendation (namespace <http://www.w3.org/2001/XMLSchema>). Table 1 lists the locations of the schema definitions used by the ERDS import tool.

Table 1: XML Schemas

File name	Description
lm2.xsd	Top-level schema definition for Form LM-2 import files
t1.xsd	Top-level schema definition for Form T-1 import files
common.xsd	Common types shared by the LM-2 and T-1 schemas

These schemas define an import file’s valid data elements, including hierarchy and sequencing of these elements, data types, valid values, maximum lengths, and number of occurrences. Copies of these files are included with this distribution, or you can download the latest versions directly from the Department of Labor’s web site at <http://www.dol.gov/esa/regs/compliance/olms/dsd.htm>.

The ERDS import schema definitions impose minimal restrictions on required data elements, allowing labor organizations to import as much or as little data as is available. For example, an organization wishing to populate Schedule 16 could do so by creating an XML data file containing only Schedule 16 data, omitting the other top-level data elements. Other schedules could be populated from other import files or directly through the forms preparation tool. This approach provides maximum flexibility for supporting a particular organization's filing preparation process.

For help navigating and understanding the XML import structure, this distribution includes supplemental reference guides for each of the schema files. The reference guides present the definitions in a hyperlinked graphical format. Table 2 lists the locations of the reference guides.

**Table 2: Schema Reference Guides**

File name	Description
<a href="#">lm2/lm2.html</a>	Schema reference guide for lm2.xsd
<a href="#">t1/t1.html</a>	Schema reference guide for t1.xsd

Where discrepancies between these reference guides and the .XSD schema files exist, the schema files are the final authority.

Note that an XML schema cannot capture all the rules concerning data content. Data supplied in import files must also conform to the specific validation rules defined in the ERDS Filer Manual (such as filing thresholds, explanatory notes, and other instructions).

### 3. CSV Import Format

Import data files may also be created using a comma-separated value format. The data type, value, and field-level format restrictions are equivalent to those defined for XML import files. Unlike XML import files, CSV files may contain only itemized schedule data. Additional data, such as schedule totals or general forms information, must be entered manually into the electronic forms or imported through XML data.

#### 3.1 CSV File Format

An ERDS CSV import file consists of a single header record, followed by a series of data records. Each data record typically represents a single schedule item. A record is usually a single text line, terminated by a line feed (ASCII LF=0x0A), a carriage return (ASCII CR=0x0D), or a CR/LF pair. Because fields might contain embedded line-breaks (see below), a record may span more than one line.

The first record in an imported CSV file **must** be a header record containing field names. Field names are separated by commas. For example,

```
first_name, last_name, phone, location
```

The header record, like all other CSV records, is encoded in accordance with the rules stated in this section.

A data record contains values in one or more fields. Fields are separated by commas. For example:

```
John, Doe, (800)555-1111, main office
```

A valid CSV file must contain the header record and at least one data record. For example,

```
first_name, last_name, phone, location  
John, Doe, (800)555-1111, main office
```

Space characters can be spaces or tabs. Leading and trailing space-characters adjacent to comma field separators are ignored—for example,

```
John , Doe ,...
```

resolves to "John" and "Doe",...

Data fields containing embedded commas must be delimited with double-quote characters. In the example below, "Anytown, WW" is delimited by double quotes because it has an embedded comma.

```
John, Doe, 120 any st., "Anytown, WW", 08123
```

Data fields that contain leading or trailing spaces must be surrounded by double-quotes. For example, the correct format for a data field that must contain a space at the end of the data would be

```
"John ", Doe, 120 any st.,...
```

Data fields that contain double-quote characters must be surrounded by double-quotes. For example, if a nickname is part of the name—as in, John "Bulls Eye" Doe, the correct format is

```
"John ""Bulls Eye""", Doe, 120 any st.,...
```

In this example, John “Bulls Eye” is the value in the `first_name` field. Note that each embedded double-quote (in this example, the “ before Bulls and the “ after Eye) must be represented by a pair of consecutive double quotes.

A field that contains embedded line-breaks must be enclosed by double-quotes. For example, the following data record consists of three fields as identified in the header record (location, notes and start date).

```
location, notes, start_date
Conference room 1, "John,
Please bring the M. Mathers file for review
-J.L.
",2003-10-31
```

In the above example, the location data field contains the value: “Conference room 1”. The notes data field contains the value: “John, Please bring the M. Mathers file for review<br>- J.L.<br>” And the start\_date data field contains the value: “2003-10-31”. Though the example record takes up more than one line in the CSV file, it is a single CSV data record. This is valid because the line breaks are embedded inside the double quotes of the field.

Fields may always be delimited with double quotes. The delimiters are always discarded.

If a field value is only whitespace (tabs and spaces), the value is presumed absent. To indicate an empty string, use double quotes. Trailing missing fields may be omitted.

CSV-formatted import data for schedules with individually itemized payments (for example, Schedule 15 on the LM-2) must be provided using two related data files. The related data files are a master file and a detail file. The master file lists the top-level payer/payee details, containing one record for each individual. The detail file contains details of all itemized transactions.

Records in the detail file are linked to individual records in the master file through a payer/payee ID. This ID must be unique within each schedule related master file. The ID is used only to match records between CSV master and detail files; it is not saved in the form, transmitted to the DOL or used for any other purpose once the import process completes. Records in the detail file must occur in the same order as the individual records in the corresponding master file. The following shows an example of these structures.

**sched25.csv (master file)**

```
id,name,title
p1,"John Jones","lobbyist"
p2,"Mary Smith","benefactor"
p3,"Don Johnson","office manager"
```

**sched25-payments.csv (detail file)**

```
id,purpose,date,amount
p1,"Political representation",50,2002-10-31
p1,"Organizational duties",100,2003-01-25
p1,"Educational assistance",75,2003-02-26
p2,"Grants and gifts",100,2002-06-3
p2,"Petty cash",100,2002-06-18
p3,"Office supplies",50,2002-08-15
```

## **3.2 CSV Record Formats**

Each importable schedule has a corresponding CSV format specification indicating the record fields and their types. Field types use the standard XML Schema data types, as defined in <http://www.w3.org/TR/xmlschema-2/>, augmented with additional simple types defined in the OLMS “common.xsd” schema (zip codes, state abbreviations, etc.). The names in the header record must match the name and order of the fields defined in the format specification.

Appendix A lists all the supported import schedules and their corresponding format specifications.

As with the XML format, data supplied in CSV import files must also conform to the specific validation rules defined in the ERDS Filer Manual (such as filing thresholds, explanatory notes, and other instructions).

## Appendix A: CSV Import Formats

### A.1 LM-2 Record Formats

#### Schedule 1 - Accounts Receivable

name	string[30]
total	integer
past-due-90	integer
past-due-180	integer
liquidated	integer

#### Schedule 2 - Loans Receivable

name	string[30]
purpose	string[20]
security	string[20]
terms	string[30]
starting-balance	integer
during-period	integer
cash-repayments	integer
non-cash-repayments	integer
ending-balances	integer

#### Schedule 3 - Sale of Investments and Fixed Assets

description	string[50]
cost	integer
book-value	integer
gross-sales-price	integer
amount-received	integer

#### Schedule 4 - Purchase of Investments and Fixed Assets

description	string[50]
cost	integer
book-value	integer
cash-paid	integer

#### Schedule 5 - Investments

type	string	either "security" or "other"
description	string[50]	
book-value	integer	

#### Schedule 6 - Fixed Assets

type	string[15]	one of "land", "building", "vehicle", "office", "other"
description	string[50]	ignored for anything other than land or building
cost	integer	
depreciation	integer	

book-value	integer
value	integer

**Schedule 7 - Other Assets**

description	string[50]
book-value	integer

**Schedule 8 - Accounts Payable Aging Schedule**

name	string
total	integer
past-due-90	integer
past-due-180	integer
liquidated	integer

**Schedule 9 - Loans Payable**

source	string[50]
start	integer
during	integer
cash	integer
other	integer
end	integer

**Schedule 10 - Other Liabilities**

description	string[50]
amount	integer

**Schedule 11 - All Officers and Disbursements to Officers**

first	string[12]	
mi	string[1]	
last	string[16]	
title	string[25]	
status	string[1]	One of "P", "C", or "N"
gross	integer	
allowances	integer	
official	integer	
other	integer	
representational	integer	0 to 100
political	integer	"
contributions	integer	"
general	integer	"
administration	integer	"

**Schedule 12 - Disbursements to Employees**

first	string[12]
-------	------------

last	string[1]	
mi	string[16]	
title	string[25]	
other-payer	string[30]	
gross	integer	
allowances	integer	
official	integer	
other	integer	
representational	integer	0 to 100
political	integer	"
contributions	integer	"
general	integer	"
administration	integer	"

#### **Schedule 14 - Other Receipts**

##### **Master File**

id	string[12]	must be unique within the import file
name	string[50]	
room-or-box	string[27]	
street	string[27]	
city	string[23]	
state	stateAbbrev	
zip	zipcode	
type	string[50]	
receipts	string	

##### **Payment File**

id	string[12]	must match a corresponding payer id in the master file
purpose	string[25]	
date	date	
amount	integer	

#### **Schedules 15-19 (Itemized Disbursements by Category and Payee)**

##### **Master File**

id	string[12]	must be unique with the import file
name	string[50]	
room-or-box	string[27]	
street	string[27]	
city	string[23]	
state	stateAbbrev	
zip	zipcode	
type	string[50]	

##### **Payment File**

id	string[12]	must match a corresponding payee id in the master file
purpose	string[25]	
date	date	

amount		integer
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**Schedule 20 - Benefits**

description		string
payee		string
amount		integer

**A.2 T-1 Record Formats**

**Schedule 1 - Individually Identified Receipts**

**Master File**

id	string[12]	must be unique within the import file
name	string[50]	
room-or-box	string[27]	
street	string[27]	
city	string[23]	
state	stateAbbrev	
zip	zipcode	
type	string[25]	

**Payment File**

id	string[12]	must match a corresponding payer id in the master file
purpose	string[25]	
date	date	
amount	integer	

**Schedule 2 - Individually Identified Disbursements**

**Master File**

id	string[12]	must be unique within the import file
name	string[50]	
room-or-box	string[27]	
street	string[27]	
city	string[23]	
state	stateAbbrev	
zip	zipcode	
type	string[25]	

**Payment File**

id	string[12]	must match a corresponding payee id in the master file
purpose	string[25]	
date	date	
amount	integer	

**Schedule 3 - Disbursements to Officers and Employees of the Trust**

first	string[12]
-------	------------

mi	string[1]
last	string[16]
title	string
gross	integer
allowances	integer
official	integer
other	integer